



Atty. Dkt. No. 039322-0226

#6

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: James P. Hoeffler *et al.*

Title: SINGLE CHAIN MONOCLONAL  
ANTIBODY FUSION REAGENTS  
THAT REGULATE  
TRANSCRIPTION IN VIVO

Appl. No.: 09/939,769

Filing Date: 08/28/2001

Examiner: Unassigned

Art Unit: Unassigned

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Box IDS  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.



**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits. Each of the documents listed on the attached PTO-1449 form were cited in a Search Report, copy enclosed, of a corresponding International Application.

All of the documents are in English.

**RELEVANCE OF EACH DOCUMENT**

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

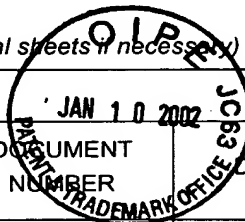
Respectfully submitted,

Date 10 January 2002

By Stephen A. Bent

FOLEY & LARDNER  
Washington Harbour  
3000 K Street, N.W., Suite 500  
Washington, D.C. 20007-5109  
Telephone: (202) 672-5404  
Facsimile: (202) 672-5399

Stephen A. Bent  
Attorney for Applicant  
Registration No. 29,768

Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 039322-0226		SERIAL NO. 09/939,769	
<b>INFORMATION DISCLOSURE CITATION</b>  (Use several sheets if necessary)				APPLICANT James P. HOEFFLER et al.			
				FILING DATE 08/28/2001		GROUP ART UNIT Unassigned	
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  </div> <div> <b>U.S. PATENT DOCUMENTS</b> </div> </div>							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
<b>FOREIGN PATENT DOCUMENTS</b>							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	A1	✓ WO96 30512 A	10/96	WIPO			
	A2	✓ WO 96 02561 A	02/96	WIPO			
	A3	✓ 0 557 897 A	09/00	EUROPE			
	A4	✓ WO 00 54057 A	09/00	WIPO			
	A5	✓ WO 01 48017 A	07/01	WIPO			
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)							
	B1	GARGANO, N., ET AL., "From Phase Libraries To Intracellular Immunization" Intracellular Antibodies: Development and applications, Springer Verlag, Berlin, DE (1997), pp. 173-186, XP000916894					
	B2	MARASCO, W.A., "Intracellular antibodies (intrabodies) as research reagents and therapeutic molecules for gene therapy" IMMUNOTECHNOLOGY, ELSEVIER SCIENCE PUBLISHERS BV, NL, Vol. 1, No. 1, (May 1995) pp 1-19, XP004052680					
	B3	MARASCO, W., "Intrabodies: turning the humoral immune system outside in for intracellular immunization" GENE THERAPY, MACMILLAN PRESS LT., BASINGSTOKE, GB, Vol. 4, no. 1, (Jan. 1997), pp. 11-15, XP002097642					
	B4	MHASHILKAR, A. M., ET AL., "Inhibition of HIV-1 Tat-mediated LTR transactivation and HIV-1 infection by anti-Tat single chain intrabodies", EMBO JOURNAL, OXFORD UNIVERSITY PRESS, SURREY, GB, Vol. 14, No. 7, 1995, pp. 1542-1551, XP002089075					
	B5	HAARD, DE H J W, ET AL., "SELECTION OF RECOMBINANT, LIBRARY-DERIVED ANTIBODY FRAGMENTS AGAINST P24 FOR HUMAN IMMUNODEFICIENCY VIRUS TYPE 1 DIAGNOSTICS" CLINICAL AND DIAGNOSTIC LABORATORY IMMUNOLOGY, AMERICAN SOCIETY FOR MICROBIOLOGY, US, Vol. , No. 5, Sept. 1998, pp. 636-644, XP000939091					
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			
* <b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.							